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PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031

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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/804640-Conf. #7762
	Filing Date	March 19, 2004
	First Named Inventor	Matthias WAGNER
	Art Unit	2883
	Examiner Name	J. P. Hughes
Total Number of Pages in This Submission	Attorney Docket Number	0111554.00132US3

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): - Form PTO SB-08 - 93 Non-US Patent References - Return Postcard
<div>Remarks</div>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm Name	WILMER, CUTLER PICKERING HALE AND DORR LLP	
Signature		
Printed name	Eric L. Prah	
Date	Reg. No.	32,590



Docket No.: 0111554.00132US3
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Matthias WAGNER et al.

Application No.: 10/804640

Confirmation No.: 7762

Filed: March 19, 2004

Art Unit: 2883

For: TUNABLE AND SWITCHABLE MULTIPLE-
CAVITY THIN-FILM OPTICAL FILTERS

Examiner: J. P. Hughes

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

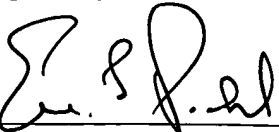
Pursuant to the duty of disclosure under 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicants bring to the attention of the Examiner the documents listed on the attached Form SB/08.

This Information Disclosure Statement is being filed prior to the mailing date of a first Office Action on the merits. No fee is required, however, the Commissioner is authorized to charge any fees due with this filing to Deposit Account No. 08-0219.

Applicants request that the Examiner initial and return a copy of the enclosed Form PTO SB/08 with the next communication.

Dated: February 24, 2006

Respectfully submitted,

By 

Eric L. Prahl

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PTO/SB/08a/b (07-05)

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Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Complete if Known		
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			Examiner Name	J. P. Hughes	
Sheet	1	of	6	Attorney Docket Number	0111554.00132US3

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
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	AC*	US-4,680,085-A	07-14-1987	Vijan et al.	
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	AE*	US-4,929,063-A	05-29-1990	Durand et al.	
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	AP*	US-5,515,460-A	05-07-1996	Stone	
	AQ*	US-5,528,071-A	06-18-1996	Russell et al.	
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	AU*	US-5,694,498-A	12-02-1997	Manasson et al.	
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	AD1*	US-5,940,008	02/1996	Guempelein et al.	
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	AH1*	US-6,037,644-A	03-14-2000	Daghighian et al.	
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	AO1*	US-6,300,648-B1	10-09-2001	Mei et al.	
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	AS1*	US-6,487,342	11-26-2002	Wu et al.	

Examiner Signature		Date Considered	
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Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Complete if Known	
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				Art Unit	2883
				Examiner Name	J. P. Hughes
Sheet	2	of	6	Attorney Docket Number	0111554.00132US3

AT1*	US-6,545,796-B1	04-08-2003	Greywall	
AU1*	US-6,670,599-A1	12-30-2003	Wagner et al.	
AV1*	US-6,737,648-B2	05-18-2004	Fedder et al.	
AW1*	US-6,768,097-B1	07-27-2004	Viktorovitch et al.	
AX1*	US-6,985,281-A1	08-14-2003	Wagner et al.	
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AB2	US-09/813,454		Wayne et al.	
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AL2*	US-2002/0105652	08-08-2002	Domas et al.	
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AX2*	US-2003/0141453	07-31-2003	Reed, et al.	

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)					
	BA	EP-0125390-A1		11-21-1984	Schaumberg Hanno		
	BB	EP-0139487		05-02-1985	Exxon Research		
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	BD	EP-0518228		12-16-1992	Hartmann & Braun		
	BE	EP-0559347		09-08-1993	AT&T Corp.		
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	BH	EP-1055959		11-29-2000	NEC Corporation		
	BI	EP-0859413		08-19-1998	Mitsubishi		
	BJ	EP-0860885		08-26-1998	Canon Kabushiki Kaisha		
	BK	EP-0883194-A1		12-09-1998	Univ Roma		
	BL	EP-0899836-A1		03-03-1999	Xerox Corporation		
	BM	EP-0899835-A1		03-03-1999	Xerox Corporation		

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			Art Unit	2883	
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Sheet	3	of	6	Attorney Docket Number	0111554.00132US3

	BN	DE-4424717	01-19-1996	Siemens Aktiengesellschaft		
	BO	DE-196 35 583	03-05-1998	Siemens AG		✓
	BP	JP-07168040	07-04-1995	Nippon Steel Corp.		
	BQ	JP-08250551	09-27-1996	Mitsubishi Elec. Corp.		
	BR	JP-60210826	10-23-1985	Mitsubishi Elec. Corp.		
	BS	WO-89/03593	04-20-1989	Stemcor Corp.		
	BT	WO-99/30394	06-17-1999	Coherent, Inc.		
	BU	WO-00/13350	03-09-2000	E-TEK Electrophotonics Solutions Corporation		
	BV	WO-00/22479	04-20-2000	Siemens Aktiengesellschaft		
	BW	WO-00/23833	04-27-2000	Coretek Inc.		
	BX	WO-01/16637	03-08-2001	Epitaxx Inc.		
	BY	WO-01/67646	09-13-2001	Flanders et al		
	BZ	WO-01/73850	10-04-2001	Aegis Semiconductor Inc.		
	BA1	WO-02/50528	06-27-2002	Baltes et al.		
	BB1	WO-02/057180	07-25-2002	Honeywell International, Inc.		
	BC1	WO-02/103441	12-27-2002	Aegis Semiconductor Inc.		✓
	BD1	WO-03/046630	06-05-2003	Aegis Semiconductor Inc.		

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. * CITE NO.: Those application(s) which are marked with an asterisk (*) next to the Cite No. are not supplied (under 37 CFR 1.98(a)(2)(iii)) because that application was filed after June 30, 2003 or is available in the IFW. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²	
	CA	AUGUSTINE, B.H. et al. "Thermal-optical switching of a silicon based interference filter" J. Appl. Phys. (15 February 1994): 75(04) 1875-1877		
	CB	BAUMEISTER, P., "Simulation of a rugate filter via a stepped-index dielectric multilayer", <i>Applied Optics</i> , Vol. 25, No. 16, pp. 2644-2645, 1986		
	CC	BRUEL et al., "Smart-cut: A New Silicon on Insulator Material Technology based on Hydrogen Implantation and Wafer Bonding", <i>Jpn. J. Appl. Phys.</i> , Vol. 36, pp. 1636-1641, 1997		
	CD	CARBUNESCU, E. "Non linear optical effects in hydrogenated amorphous silicon" <i>Optical Engineering</i> , Vol. 35, No. 05, pp. 1322-1324, May 1996		
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	CH	COCORULLO, G. et al. "Amorphous silicon-based guided-wave passive and active devices for silicon integrated optoelectronics." <i>IEEE Journal of Selected Topics in Quantum Electronics</i> , Vol. 4, No. 6, pp. 997-1002, Nov/Dec 1998		
	CI	COCORULLO, G. et al. "Amorphous silicon waveguides and interferometers for low-cost silicon optoelectronics." <i>SPIE</i> , Vol. 3278, pp. 286-292, 1998		
	CJ	COCORULLO, G. et al., "Measurement of the thermo-optic coefficient of a-Si:H at the		
Examiner Signature				Date Considered

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Sheet	4	of	6	Attorney Docket Number	0111554.00132US3

		wavelength of 1500 nm from room temperature to 200°C", <i>Journal of Non-Crystalline Solids</i> , pp. 310-313, 2002	
CK		COCORULLO et al., "Fast Infrared Light Modulation in a-Si:H Micro-devices", <i>J. Non-Crystalline Sol.</i> , Vol. 266, pp. 1247-1251, 2000	
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CO		DESALVO et al., "Advanced Components and Subsystem Solutions for 40 gb/s Transmission", <i>Journal of Lightwave Technology</i> , Vol. 20, No. 12, pp. 2175-2177, 2002	
CP		DOMASH et al., "Broadly Tunable Thin Film Interference Coatings: Active Thin Film for Telecom Applications", <i>Proceedings of SPIE</i> , Vol. 4989, pp. 161-167, June 2003	
CQ		DOMASH, L. et al., "Switchable thin film add/drop filter", <i>2003 Optical Society of America</i> , PD35-1-PD25-3, 2003	
CR		DOMASH, L. et al., "Tunable thin-film filters based on thermo-optic semiconductor films", <i>Applications of Photonic Technology 5, Proceedings of SPIE</i> , Vol. 4833, pp. 685-695, 2002	
CS		DOMASH et al., "Tunable and Switchable Multiple-Cavity Thin Film Filters", <i>Journal of Lightwave Technology</i> , Vol. 22, No. 1, pp. 126-135, 2004	
CT		EICKER, U. et al. "Optical bistability in amorphous Si-C alloys and amorphous alloy interference filters." <i>Optical Society of America</i> , Vol. 8, No. 3, pp. 614-617, 1991	
CU		FERNANDES, M. et al., "VIS/NIR detector based on μ c-Si:H p-i-n structures", <i>Thin Solid Films, Elsevier Science, S.A.</i> , Vol. 364, No. 1-2, pp. 204-205, March 2000	
CV		GHOSH, G., "Temperature dispersion of refractive indices in crystalline and amorphous silicon", <i>Appl. Phys. Lett.</i> 66, Vol. 26, 26 June 1995	
CW		GNAUCK et al., "Optical Equalization of Fiber Chromatic Dispersion in a 5-GB/S Transmission System", <i>IEEE Photonics Technology Letters</i> , Vol. 2, No. 8, pp. 585-587, 1 August 1990	
CX		HOHLFELD et al., "A Thermally Tunable Silicon-based Optical Filter", <i>Sensors and Actuators</i> , Vol. 103, No. 1-2, pp. 93-99, 15 January 2003	
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CA1		JABLONSKI, M. et al., "Entirely thin-film allpass coupled-cavity filters in a parallel configuration for adjustable dispersion-slope compensation", <i>IEEE Photonics Technology Letters</i> , Vol. 13, No. 11, November 2001	
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CC1		KAJAVA, T. et al. "Tunable fabry-perot micro-filters for telecommunication system diagnostics." <i>Tech Dig. Conf. Lasers and Electro-Optics Cleo/Europe</i> , p. 324, 1998	
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CF1		LI, H., "Refractive Index of Silicon and Germanium and its Wavelength and Temperature	

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Sheet	5	of	6	Attorney Docket Number	0111554.00132US3

		Derivatives", <i>J. Phys. and Chem. Ref. Data.</i> , Vol. 9, p. 561, 1980	
CG1	LUNARDI, L. et al., "Tunable dispersion compensation at 40-Gb/s using a multicavity etalon all-pass filter with NRZ, RZ and CS-RZ modulation", <i>Journal of Lightwave Technology</i> , Vol. 20, No. 12, December 2002		
CH1	MADSEN et al., "A Multi-Channel Dispersion Slope Compensating Optical Allpass Filter", <i>Optical Fiber Communication Conference, Technical Digest Postconference edition</i> , Vol. 2 of 4, pp. WF5-1, 7 March 2000		
CI1	MADSEN et al., "A Tunable Dispersion Compensating MEMS All-Pass Filter", <i>IEEE Photonics Technology Letters</i> , Vol. 12, No. 6, pp. 651-653, 2000		
CJ1	MANDURAH, M.M., "Dopant Segregation in Polycrystalline Silicon", <i>J. App. Phys.</i> , Vol. 51, pp. 5755-5763, 1980		
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CR1	PAYNE et al., "Effects of Chlorine on Dopant Activation in α -Si:H", <i>Appl. Phys. Lett.</i> , Vol. 76, No. 20, p. 2949, 2000		
CS1	POLYAKOV et al., "Processability and Electrical Characteristics of Glass Substrates for RF Wafer-Level Chip-Scale Packages", <i>2003 Proceedings 53rd, Electronic Components and Technology Conference</i> , Vol. CONF. 53, 27 May 2003		
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CZ1	WILLNER, A., "Chromatic dispersion and polarization-mode dispersion", <i>OPN TRENDS</i> , pp. S-16-S-21, March 2002		
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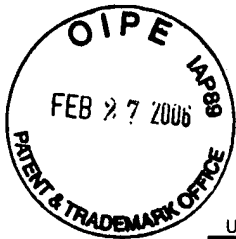
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Sheet	6	of	6	Attorney Docket Number	0111554.00132US3

	CB2	YANG et al., "Amorphous Silicon and SiGe Alloy Solar Cells Deposited by VHF", <i>Mat. Res. Soc. Symp.</i> , Vol. 664, p. A11.3.1, 2001	
	CC2	ZHAO et al., "Optomechanical Uncooled Infrared Imaging System: Design, Microfabrication, and Performance", <i>Journal of Microelectromechanical Systems</i> , Vol. 11, No. 2, pp. 136-146, 2002	

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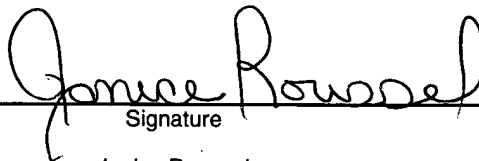
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